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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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|--|--|------------------|-------------|-----|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No.                            | 8002-081-999     | Total Pages | 202 |
|  | First Named Inventor or Application Identifier |                  |             |     |
|  | Pawelek et al.                                 |                  |             |     |
|  | Express Mail Label No.                         | EV 159435376 US: |             |     |

|   |  |
|---|--|
| <b>APPLICATION ELEMENTS</b><br><i>See MPEP chapters 600 concerning utility patent application contents.</i> | <b>Address to:</b><br><b>Commissioner for Patents</b><br><b>P.O. Box 1450</b><br><b>Mail Stop PATENT APPLICATION</b><br><b>Alexandria, VA 22313-1450</b> |
|---|--|

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 147]  
(preferred arrangement set forth below, MPEP 1503.01)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R&D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description of the Invention (including drawings, if filed)  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 30]
5. ☒ Oath or Declaration [Total Sheets 2]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. ☒ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper  
c. ☒ Statement verifying identity of above copies



#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or it's equivalent
17. ☒ Other: Transmittal & 37 sheets of 19 formal figures.

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of United States Patent Application Serial No. 09/358,052, filed July 21, 1999 which continuation of Application Serial No. 08/658,034 filed June 4, 1996 currently U.S. Patent No. 6, 190,657 B1 which in turn is a continuation-in-part of Application 08/486,422 filed June 7, 1995, currently abandoned.

Prior application information:

Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 19. CORRESPONDENCE ADDRESS

☒ Customer Number

20583

Insert Customer No.

or ☐ Correspondence address below

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| NAME    |           |          |  |
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| COUNTRY | TELEPHONE | FAX      |  |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Prior application: Examiner William SandalsArt Unit 1636

Commissioner for Patents  
P.O. Box 1450  
Mail Stop PATENT APPLICATION  
Alexandria, VA 22313-1450

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of United States Patent Application Serial No. 09/358,052, filed July 21, 1999 which continuation of Application Serial No. 08/658,034 filed June 4, 1996 currently U.S. Patent No. 6,190,657 B1 which in turn is a continuation-in-part of Application 08/486,422 filed June 7, 1995, currently abandoned.,

of Pawelek et al.

(inventor(s) currently of record in prior application)

for VECTORS FOR THE DIAGNOSIS AND TREATMENT OF SOLID TUMORS INCLUDING MELANOMA

(title of invention)

1. ☒ The filing fee is calculated below:

**PATENT APPLICATION FEE VALUE**

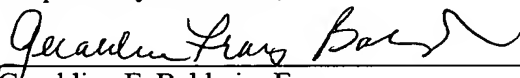
| TYPE  | NO. FILED | LESS | EXTRA | EXTRA RATE   | FEE       |
|---|-----------|------|-------|--------------|-----------|
| Total Claims  | 14        | - 20 | 0     | \$18.00 each | \$ 0.00   |
| Independent   | 1         | - 3  | 0     | \$86.00 each | \$ 0.00   |
| Minimum Fee   |           |      |       |              | \$ 770.00 |
| Multiple Dependency Fee<br>If Applicable (\$290.00)   |           |      |       |              | \$ 0.00   |
| <b>Total</b>  |           |      |       |              | \$ 770.00 |
| Applicant qualifies for the 50% Reduction for Independent<br>Inventor, Nonprofit Organization or Small Business Concern |           |      |       |              | \$ 385.00 |
| <b>Total Filing Fee</b>   |           |      |       |              | \$ 385.00 |

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
- 3a. ☒ A Preliminary Amendment is enclosed.
- 3b. ☒ A new specification, substantially identical to the pending prior application and containing no new matter, is enclosed.
- 4a. ☒ New formal drawings are enclosed.
- 4b. ☒ Informal drawings are enclosed.

- 5a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to Yale University as of August 7, 1996 at Reel: 8092/Frame: 0884.
- 7a. ☒ A copy of the Power of Attorney filed in the prior application no. 08/658,034, filed June 4, 1996 is enclosed.
- 7b. ☐ A Power of Attorney is enclosed.
8. ☒ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no. 08/658,034, filed on June 4, 1996 be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. 08/658,034 is enclosed.
9. ☒ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. 08/658,034 is the same as the content of the computer readable form submitted in application no. 08/658,034.
10. ☐ DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
11. ☒ Additional enclosures or instruction Information Disclosure Statement with PTO Form 1449

Date November 24, 2003

Respectfully submitted,



Geraldine F. Baldwin, Esq.

PENNIE & EDMONDS LLP

1155 Avenue of the Americas

New York, New York 10036-2711

31,232

(Reg. No.)

Express Mail No: EV 159435376 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                 |  |                      |                   |
|-----------------|--|----------------------|-------------------|
| Application of: | Pawelek et al.   | Confirmation No.:    |                   |
| Serial No.:     | Not yet assigned; continuation of appln. no. 09/358,052, filed July 21, 1999 | Art Unit:            | Not yet assigned  |
| Filed:          | Concurrently herewith  | Examiner:            | Not yet assigned. |
| For:            | VECTORS FOR THE DIAGNOSIS AND TREATMENT OF SOLID TUMORS INCLUDING MELANOMA   | Attorney Docket No.: | 8002-081-999      |

SUBMISSION OF FORMAL DRAWINGS

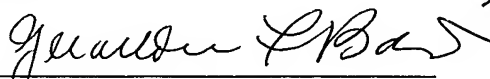
Mail Stop PGPUB Drawings  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Sir:

Applicant submits herewith thirty seven (37) sheets of Formal Drawings representing Figs. 1 - 19 in the above-identified application.

There is no fee required for this Petition. If a fee is deemed necessary, please charge this fee to Pennie & Edmonds LLP's Deposit Account No. 16-1150. A copy of this sheet is enclosed for accounting purposes.

Date: November 24, 2003

Respectfully submitted,

  
Geraldine F. Baldwin 31,232  
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